



Receipt

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Date: August 13, 2001

Name: Lisa M. Davis

Signature: *Lisa M. Davis*

*Clifford Chance Rogers & Wells LLP*

Docket No. 3499/82

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Andrew J.R. Smith et al.

Filed: May 31, 2001

Group Art Unit: 2161

Serial No: 09/870,811

Examiner: TBA

For: METHOD AND SYSTEM FOR PROCESSING FINANCIAL DATA OBJECTS CARRIED ON BROADCAST DATA STREAMS AND DELIVERING INFORMATION TO SUBSCRIBING CLIENTS

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**REQUEST FOR A CORRECTED FILING RECEIPT**

Commissioner for Patents  
Washington, D.C. 20231

Upon review of the Official Filing Receipt, we have noted an error in the title "METHOD AND SYSTEM FOR PROCESSING FINANCIAL DATA OBJECTS CARRIED ON DATA STREAMS AND DELIVERING INFORMATION TO SUBSCRIBING CLIENTS" the title should read -- METHOD AND SYSTEM FOR PROCESSING FINANCIAL DATA OBJECTS CARRIED ON BROADCAST DATA STREAMS AND DELIVERING INFORMATION TO SUBSCRIBING CLIENTS --.

A copy of the Filing Receipt with the error marked in red ink is enclosed for your reference. It is requested that this error be corrected and a Corrected Filing Receipt be issued.

It is believed that this error originated in the Patent Office and therefore no fee is required for this correction. However, the Commissioner is hereby authorized to charge any additional fees due to Deposit Account No. 50-0521.

Date: August 13, 2001

Respectfully submitted,

*Mitchell S. Feller*  
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Docket No. 3499/82

NYB 1275317.1



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/870,811	05/31/2001	2161	1178	3499-82	10	46	3

CONFIRMATION NO. 1258

## FILING RECEIPT



\*OC000000006364436\*

Clifford Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166-0153

Date Mailed: 07/31/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

Andrew J.R. Smith, New York, NY;  
Deane Thomas, New York, NY;  
Randy Cowan, New York, NY;

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## Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/223,397 08/04/2000  
AND CLAIMS BENEFIT OF 60/227,162 08/22/2000

## Foreign Applications

If Required, Foreign Filing License Granted 07/28/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

## Title

Method and system for processing financial data objects carried on data streams and delivering information to subscribing clients

Broadcast

## Preliminary Class

705

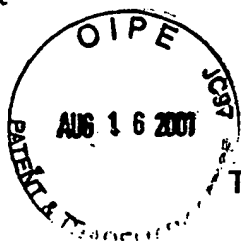
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Data entry by : IBRAHIM, SADIE

Team : OIPE

Date: 07/31/2001





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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
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- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Bib Data Sheet

CONFIRMATION NO. 1258

<b>SERIAL NUMBER</b> 09/870,811	<b>FILING DATE</b> 05/31/2001 <b>RULE</b>	<b>CLASS</b> 705	<b>GROUP ART UNIT</b> 2161	<b>ATTORNEY DOCKET NO.</b> 3499-82
<b>APPLICANTS</b> Andrew J.R. Smith, New York, NY; Deane Thomas, New York, NY; Randy Cowan, New York, NY;				
<b>** CONTINUING DATA *****</b>				
<b>** FOREIGN APPLICATIONS *****</b>				
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED</b> ** 07/28/2001				
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance Verified and Acknowledged _____ Examiner's Signature Initials		<b>STATE OR COUNTRY</b> NY	<b>SHEETS DRAWING</b> 10	<b>TOTAL CLAIMS</b> 46
				<b>INDEPENDENT CLAIMS</b> 3
<b>ADDRESS</b> Clifford Chance Rogers & Wells LLP 200 Park Avenue New York, NY 10166-0153				
<b>TITLE</b> Method and system for processing financial data objects carried on broadcast data streams and delivering information to subscribing clients				
<b>FILING FEE RECEIVED</b> 1308	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit	